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STATE OF CALIFORNIA
DEPARTMENT OF INDUSTRIAL
RELATIONS
DIVISION OF APPRENTICESHIP
STANDARDS

AUDIT REPORT
For

**Program San Joaquin & Calaveras
County Electrical, JATC, File 00065**

The Division of Apprenticeship Standards (DAS) creates opportunities for Californians to gain employable lifetime skills and provides employers with a highly skilled and experienced workforce while strengthening California's economy.

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SUMMARY

The Division of Apprenticeship Standards (DAS) presents its audit report concerning the San Joaquin & Calaveras County Electrical Joint Apprenticeship Training Committee (JATC) program; DAS file number 00065, (hereafter "Program"). The audit was selected randomly by the DAS for an audit. The audit was performed during November 3-6, 2008 and was conducted pursuant to California Labor Code §3073.1.

During the preliminary audit preparation the program gave the auditor access to all files, and computer management system. The actual numbers of registered apprentices reported to the DAS are accurate. The number reported is included in the below insert. The program has indicated there will be an additional apprentice added as a transfer and will submit the appropriate forms to the DAS. The program has demonstrated an excellent record keeping system in place.

NUMBER OF REGISTERED APPRENTICES

DAS Records Based Upon Program's Submittals	69	According to Program	69
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FINDINGS AND RECOMMENDATIONS

The program is keeping the apprentices on schedule. The training facility and its instructor keep accurate records on class attendance and completion of Related Supplemental Instruction (RSI). Accurate records are in place to notify employers of apprentice upgrades and rate increases. Even though there is a down turn in the economy, the program has all apprentice's continuously employed.

Detailed findings and recommendations are included in this report. The coordinator was presented with a summary of the findings and a recommendation. These DAS audit procedures allow the program to respond to the recommendations and their response will become part of this formal report.

INTRODUCTION/BACKGROUND

AUDIT HIGHLIGHTS

The review of the San Joaquin & Calaveras Counties Electrical Joint Apprenticeship Training Committee (JATC) program; Division of Apprenticeship Standards (DAS) file number 00065, (hereafter "Program") found that:

- ☑ The program has submitted revision of standards regularly. The last full approved December 13, 2005.
- ☑ The program requires all apprentices to sign and confirm that they understand the programs Rules and Regulations. The apprentice files contain signed copies of this document.
- ☑ The number of registered apprentices for this program is correct.
- ☑ The program files did contain consistent verifiable OJT work hours. The apprentice is required to complete an Apprentice Record Card (yellow card) to track work processes and OJT work hours. Work processes are consistent with program apprenticeship standards. Records of disciplinary actions due to poor work performance or excess absences were found.

On November 3-6, 2008, the auditor(s) met with key administrative personnel, examined records, observed administrative activities, conducted a walk-through of the training facility and visited a job site in connection with the audit. San Joaquin & Calaveras Counties Electrical Joint Apprenticeship Training Committee (JATC) program operates as a Labor/Management Cooperative and the principal partners in the cooperative effort are the members of the Association Local collective bargaining agreement the NECA and IBEW. The program has an Apprentice Trust Fund. The programs funding mechanism comes from employer contributions, Related Supplemental Instructional (RSI) Funds and state prevailing wage training fund contributions.

The Daily operations, management and administrative functions are run by one primary staff, the Training Director and seven instructors. In addition, the program has a clerical support. The program office is located at 1531 El Pinal Drive, Stockton, CA 95205.

Employers are approved to train when they have completed an Agreement to Train Apprentices, DAS-7 form. The program indicated that they dispatch to both union signatory employers and non-union employers who agree to abide by the program's standards, rules, regulations and policies.

The apprenticeship program provides a training program for the following occupations:

Name of Occupation	Term of Apprenticeship	Number of Apprentices
Inside Wireman Electrician	60 months	69

The Related and Supplemental Instruction is provided by the programs training center which is at the same site as the program operations. Each apprentice enrolled receives a comprehensive orientation packet that includes the rules and regulations, an explanation of the program standards, the Apprentice Record book (blue book) and a class schedule. San Joaquin Delta College is the apprenticeship program's Local Education Agency (LEA).

Continued on next page

- ☑ The job site review found that the apprentices are confident on how to complete the blue book (programs yellow card).
- ☑ The program has completed and submitted the annually required Self-Assessment Review and Program Improvement Plan to DAS.
- ☑ The program committee meeting minutes do include formalize motions to approve indentures, upgrades, prior credit, cancellations, completions, evaluations and discipline of apprentices.

SCOPE AND FOCUS

The principal objectives of the audit are to ensure the program is complying with their standards, that all on-the-job training is performed by a journeyman, that all related and supplemental instruction required by the apprenticeship standards is being provided, that all work processes in the apprenticeship standards are being covered, and that graduates have completed the apprenticeship programs' requirements.

The audit focused on reviewing records and activities that tend to support and substantiate the programs' efforts, practices, system and capabilities to provide and deliver the on-the-job training and related instruction. The programs' policies and procedures and procedures were reviewed to determine if they support the programs' approved standards.

METHODOLOGY

After completing an initial review of the programs' standards and records on file with the DAS, an audit plan was established with the following steps:

1. Notified the program 14 days in advance of our intent to audit.
2. Prepare an entrance interview.
3. Organization of all working paper to conduct the interview.
4. Confirm the location where records are maintained.
5. Conduct a review of all apprentice files.
6. Set the time and date of the meeting.
7. Schedule inspection of the training facility and job sites.
8. Request and review copies of the committee meeting minutes for the last 12 months.

All steps listed above were accomplished and include interviews with primary staff, apprentices and job site supervisors'.

AUDIT RESULTS

1. STANDARDS

The objective is to determine whether the programs are submitting periodic revisions to their standards and if standards are reasonably current. "Standards" are a written document containing all terms and conditions for the qualification, recruitment, selection, employment and training, working conditions, wages, employee benefits and other compensation for apprentices. It may also include other provisions and statements. All apprenticeship programs are required to submit their apprenticeship standards to the DAS Chief for approval. The California Code of Regulations states the program must submit revisions to its standards when necessary.

(a) Findings

- (1) The review found that the program has submitted revision of standards regularly the latest being August 4, 2008; the program has submitted a full approved version of standards December 13, 2005.

(b) Recommendations

- (1) In the future, review and update standards as needed.

Section 205 (f), 212 (a)(6) (7), (c)(2) (11) of the California Code of Regulations states that the program sponsor must submit revisions to its standards when necessary.

2. RULES AND REGULATIONS

The objective is to determine if the programs have adequate rules and regulations, are implementing them as required, and provide a copy to the apprentices. The rules and regulations can be defined as an orientation or workshop session that explains the apprenticeship program standards and the operation of the apprenticeship program. It includes information on what is expected by both the program and the apprentice. When the apprentice is approved by the program to enter the training (passes an oral interview) he/she is given a copy of the rules and regulations and attends an orientation session with both the coordinator and educational instructor. Then the apprentice must sign the document indicating they have received, read and understood the rules and regulations.

(a) Findings

- (1) This review found that the apprentice files did contain signed copies indicating the apprentice had received, read, or understood this document.

(b) Recommendations

- (1) Review Rules and Regulations Apprenticeship package annually and update as needed.

Section 3071, 3073, and Section 212 (a) (6) (7), (c) (2) (3) (8), (14) of the California Code of Regulations states that the program must establish rules and regulations that govern the program.

3. ACTIVE APPRENTICES AND CANCELLATIONS

The review of this item is to determine if the program is monitoring apprentices as they enter and proceed through the program. It is also to determine if the program is maintaining accurate records on both the active and cancelled apprentices. The program should have the ability to provide evidence of procedures used for periodic reviews and evaluation of the apprentice's progress in job performance and related instruction and maintenance of appropriate progress records. In addition, the program should have a process in place to notify the DAS when an apprentice leaves the program.

(a) Findings

(1) The program numbers of registered apprentices is correct. The apprentices are reviewed and records of proper evaluation appear in the files. Files of previous cancellation are kept in the office and were viewed by the auditor.

(b) Recommendations

(1) The program will continue to keep the DAS informed of indentures, cancellations and completions in a timely manner.

Section 205 (a)(1)(2) (i), 212 (a)(6) (7)(8), (b)(9), (c)(2)(10) 224 of the California Code of Regulations states that the program sponsor must maintain accurate apprenticeship records and submit changes, updates and revisions of an apprentice's status when necessary.

4. ON -THE JOB TRAINING (OJT) PROGRESS RECORDS, ADVANCEMENTS AND EVALUATIONS

Our review is to determine if apprentices are progressing on schedule, that the program is maintaining adequate OJT records, receiving periodic evaluations and if the program has an adequate records and a system in place to ensure that apprentices are covering all the work processes.

The program uses the following items to track apprentice's schedule, OJT records, periodic evaluations and work processes:

- The apprentice must abide by the requirements set by the program and the terms of the Collective Bargaining Agreement.
- A yellow card (DAS blue book) is used to verify work processes and track work hours.
- The employer provides work evaluations every six months and may contain work hours completed. The program will notify the employer and apprentice when advancements are earned

insuring timely upgrades and employer being aware of proper rates of pay and benefits.

- To keep the apprentice on schedule the program will send out written notices on class schedules, employer letters and evaluations. Apprentices failing to meet requirements are cited and notices are mailed with a request to explain why they should not be disciplined or terminated.

The program issues all indentured apprentices a yellow card to record their daily work assignments. The apprentice is then required to turn-in this yellow card before by the 6th of each month. The audit of the files found copies of the yellow card. In addition, the work processes listed on the card were consistent with the program standards.

(a) Findings

- (1) The apprentice files showed verifiable work hours and were consistent. The employer evaluations and monitoring records were consistent. The files did contain a consistent record of all absences related to school attendance.

(b) Recommendations

- (1) Review the programs standards when necessary and add updates to work processes as needed.

Section 3073.1, 3076, 3078(e) of the Labor Code, and Sections 208, 210, 212(a) (4) (5) (7) (8), (b) (9), (c) (2) (6) (8) (9) (16) (18), of the California Code of Regulations. The program must offer training and supervision in all the work processes defined in its standards and has a system to ensure that apprentices cover all the work processes. The program must have a system of documenting and maintaining records that will assist in the review and evaluation of the apprentice's progress in job performance. The program must have a procedure for recording and maintaining accurate records, and a procedure for periodic review and evaluation of progress.

5. RELATED AND SUPPLEMENTAL INSTRUCTION (RSI)

The objective of our examination was to determine if apprentices are progressing on schedule, attending classes, covering the entire course of study, and to ensure the programs are maintaining accurate records with adequate systems in place to provide training.

The program has Related and Supplemental Instruction (RSI) and a Local Education Agency (LEA) which is Delta College in Stockton, California. The program is assigned the oversight of the Related Training Curriculum. The classroom training center is located at the same location as the program.

The apprentice files included records of attendance, classroom hours, and evaluations/grade reports from the instructor. The apprentices are required to participate in RSI away from the job as specified by the program. Classes are part of the NJATC curriculum and other courses as determined by the JATC. Each apprentice is issued a schedule of

classes. Classes start promptly at 5:30 pm to 8:30 pm, either Monday and Wednesday or Tuesday and Thursday.

Apprentices are required to sign in when classes begin. The program has several tracking systems in place that monitor the progress of the apprentices, as well as attendance.

The apprentice files contained a consistent record of all absences related to school attendance. The files also contained grade and completion reports from the instructor with a recommendation that the apprentice is ready for the next level in training.

(a) Findings

- (1) Files reviewed indicate the appropriate courses for this occupation; Additional review proves the apprentices are progressing through the required supplemental instruction.

(b) Recommendation

- (1) Continue to provide updates to the program's RSI and review the curriculum for new courses when and if needed.

Section 3073.2, 3078(d), of the California Labor Code, and Section 205(e)(h), 212(a)(3)(6)(7) (c)(13)(14) of the California Code of Regulations states that it is recommended that the program provide a minimum of 144 hours per year of supplemental instruction for each year of apprenticeship and adequate arrangements for related and supplemental instruction, and have the ability and commitment to train apprentices with current industry standard criteria.

6. TRAINING CENTER

The objective is to ensure the program has adequate facilities, tools, materials and equipment to train apprentices, and to determine if the facilities are utilized and adequate for training.

There are seven certified instructors, which include the training director, in the program. During the visit, classes were not in session due to the time of day. The auditor spoke with the training director and a tour of the facility followed. The training center is in the same location as the program. The center consists of four large classrooms with ample room to train large groups of apprentices. Moreover, a large two floor lab which functions for demonstrations and on-hand working practice as directed by specific designed scenarios. The instruction is done with good health and safety practices in mind.

(a) Findings

- (1) The inspection of the training facility found it to be adequate to train apprentices.

(b) Recommendation

- (1) The program will continue current practices and insure plans for growth are based upon the current successful model.

Section 3074 of the California Labor Code—Section 212(a) (3) (4) (8), (c) (13) (12), 212.3 of the California Code of Regulations states that the program sponsor must have adequate arrangements for related and supplemental instruction.

7. MECHANISM TO KEEP APPRENTICES REASONABLY EMPLOYED

Our objective is to determine if apprentices are kept reasonably employed, to ensure the program has adequate systems in place to rotate apprentices so they cover all work processes, and to provide apprentices with continuing employment in the event of a layoff.

The review found the program has an established system to keep apprentices reasonably employed and to provide them with continuing employment in the event of a layoff. Apprentices are dispatched from the List of Available Apprentice, whether he or she is an entry level apprentice or an unemployed indentured apprentice. It is the apprentice responsibility to keep the office advised of any phone or address changes that may occur. It is also the responsibility of the apprentice to be current in all fees or dues. Program has indicated there is no apprentice on the out of work list.

(a) Findings

- (1) The referral/dispatch system keeps the apprentices employed within their industry. The program has a process in place to send out apprentices to employers.

(b) Recommendation

- (1) The program should continue the system they have in place, no recommendation at this time.

Section 3080 of the Labor Code, and Section 212 (b) (7) (9), (c) (16) (18) of the California Code of Regulations. The program(s) must have a mechanism to keep apprentices reasonably employed and maintain accurate documentation Section 3080 of the Labor Code, and Section 212 (b) (7) (9), (c) (16) (18) of the California Code of Regulations.

8. JOB SITE VISIT

A review of the job site offers an opportunity to view a job in progress, observe the work that is being done, and allows us to discuss the operation of the program with the apprentice. It enables direct contact with the apprentice to determine the following:

- If the apprentice is performing the various task listed within the work processes of their trade.
- If advancements are made on schedule.
- If the apprentice is receiving the correct pay and benefits.
- If the apprentice is kept employed on a reasonably continuous basis.
- If the programs' mechanism to keep apprentices reasonably employed is adequate.

The auditor was given a list of 6 specific job sites. The job site visits were selected by the Sacramento auditor of which a total of 4 were reviewed. Most were Public Works projects. At each job site the ratio between apprentice and journeyman was one on one. Interviews were conducted with one apprentice on each job site. All the apprentices had their own tools and other equipment, plus materials sufficient to train the apprentices. Each apprentice is receiving proper pay and benefits and attends OJT classroom training. The interviews confirmed apprentices are advanced on their own schedule. The auditor confirmed that each apprentice writes in the total hours of each of the work processes they perform each week in their yellow card. The card is signed by the job site supervisor validating the work processes and OJT work hours

(a) Findings

- (1) The apprentices interviewed understand how to properly complete the yellow card OJT Record Books and each apprentice was completely aware of the yellow card due date by the 6th of each month.

(b) Recommendations

- (1) The program should continue to monitor job sites ensuring apprentices are adequately employed at the work processes, recording OJT work hours, working under the direction of a journeyman, paid the proper wage rates and benefits.

Section 208, 212(a) (1) (2) (4), (b) (4) (5) (6), (c) (6) (13) (14) of the California Code of Regulations states that all on-the-job training will be performed by journeymen, that all related and supplemental instruction required by the apprenticeship standards will be provided, that all work processes in the apprenticeship standards are being covered, and that graduates have completed the apprenticeship program's requirements.

9. SELF-ASSESSMENT REVIEW AND PROGRAM IMPROVEMENT PLAN

The objective is to determine if the program has submitted the annual Self-Assessment Review and Program Improvement Plan. The California Code of Regulations Title 8, Section 212.3 requires programs to perform an annual self-evaluation and to create an improvement plan. The DAS now requires that each program submit a copy of their Annual Self-

Assessment Review and Program Improvement Plan to their apprenticeship consultant by December 1 of each year.

(a) Findings

- (1) The required annual Self-Assessment Review and Program Improvement Plan have been submitted for 2008. The Review and Plan are due by December 1, of the each year.

(b) Recommendations

- (1) The program will complete and submit the Annual Self-Assessment Review and Program Improvement plan for 2009. The Self-Assessment and Program Improvement Plan is a tool for setting goals for your program and adapt the listed changes during the previous 12 month period.

Section 212 (a) (6) (7), (c) (2) (11), 212.3 of the California Code of Regulations states that the program sponsor must submit annually a Self-Assessment Review and Program Improvement Plan to the DAS.

10.COMMITTEE MEETINGS AND MINUTES OF MEETING

Joint apprenticeship committees have equal representation from labor and from management. Each committee also includes a consultant representing the Division of Apprenticeship Standards or the Bureau of Apprenticeship and Training, U.S. Department of Labor. There is also an advisor from the local public school district and such other advisors and the apprenticeship consultant act without vote. This committee is responsible for administering the Standards for this program. In carrying out its functions, the committee has certain authority under the law. The actions, therefore, must be in accordance with approved apprenticeship standards and should be recorded in the minutes.

The objective is to determine if the apprenticeship committee is meeting on a regular basis, documenting actions, discussing and reviewing apprenticeship records, and making appropriate assessments and evaluations.

The programs standards state that the committee is composed of 8 members. Four are qualified and duly appointed to represent the NECA Chapter, and 4 IBEW local Union. Also the committee includes the apprenticeship coordinator and Local Education Agency Representative (LEA).

The committee provided the program meeting minutes for the past year. The meetings are held monthly, unless more meetings are necessary to address certain issues. The frequency of the meetings was established and written in a trust document.

The program stated that all disciplinary actions must be reviewed by the committee.

(a) Findings

(1) The committee minutes for the last 12 months found all record of disciplinary actions. In addition, the committee discusses and reviews apprenticeship records and makes appropriate assessment and evaluations.

(b) Recommendations

(1) Continue the system that is in place, no recommendation at this time.

Section 3076, 3080(b), 3078(d)(f), 3079, 3093(k), of the California Labor Code, and Section 213, 218, 212(7), 208(5), 205(e)(f)(g)(i), 212(c)(1)(6) (9), 224 of the California Code of Regulations states that the program sponsor must maintain adequate documentation and records.

11. COMMENTS FROM PROGRAM SPONSOR

Comments, if submitted by the program sponsor during the 14-day review and comment period, will be included with this report to the Chief of DAS and ultimately to the California Apprenticeship Council.

12. CORRECTIONS AND TIMELINE

The audit findings and recommendations are set forth in this report. The program has 14 days from the receipt of this report to review and submit comments on the report.

Within 10-days following the receipt of comments or the completion of the comment period, a final report will be submitted by the Chief of DAS to the California Apprenticeship Council.

The final report will detail the findings with recommendations for remedial actions. The programs must remedy all deficiencies and be in full compliance with their apprenticeship standards. The programs must notify the DAS in writing when deficiencies have been remedied. A DAS representative will schedule an appointment to review the completion of the remedial actions. Failure to comply may be grounds for withdrawing state approval of the apprenticeship programs.

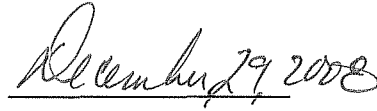
13. REMARKS

The results of this audit do not modify, replace or negate other duties and requirements or any previous notices you may have received regarding the fulfilling of your obligations prior to or after the audit period. In addition, law changes or new rulings might result in different findings in future audits.

Respectfully submitted by,

A handwritten signature in cursive script, reading "Jerriann McKenzie", written over a horizontal line.

Jerriann McKenzie
Apprenticeship Consultant Auditor
DAS, Sacramento District Office

A handwritten date in cursive script, reading "December 29, 2008", written over a horizontal line.

Date: December 29, 2008

Jerriann McKenzie

From: stocktonejatc [stockton@595eastjatc.com]
Sent: Wednesday, January 07, 2009 10:55 AM
To: Jerriann McKenzie
Subject: RE: 00065 San Joaquin and Calaveras County Electrical

Jeri

*The correction is noted and the audit is accurate. I believe you did a very thorough and professional audit and it was a pleasure to work with you.
Have a great day.*

Best regards.

*David Brooks
Training Director
San Joaquin & Calaveras
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From: Jerriann McKenzie [mailto:JMckenzie@dir.ca.gov]
Sent: Tuesday, January 06, 2009 3:31 PM
To: stockton@595eastjatc.com
Cc: Jerriann McKenzie
Subject: 00065 San Joaquin and Calaveras County Electrical

Hi Dave; as discussed the change has been corrected page 12, second to last paragraph. Let me know this will do it? Have a great and happy day.

<<Final Jan 6 2009 00065 File San Joaquin And Calaveras County Electrical.pdf>>

Jerriann McKenzie

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